

PLEASE READ ALL INSTRUCTIONS BEFORE COMPLETING THIS FORM.

APPLICATION  
FOR  
REINSTATEMENT



FLORIDA DEPARTMENT OF STATE  
Sandra B. Mortham  
Secretary of State  
DIVISION OF CORPORATIONS

FILED

97 AUG 25 PM 12:58

SECRETARY OF STATE  
TALLAHASSEE, FLORIDA

DOCUMENT #

830549

1. Corporation Name

BT Securities Corporation

Principal Place of Business

Mailing Address

130 Liberty Street  
New York, NY 10006

130 Liberty Street  
New York, NY 10006

If above addresses are incorrect in any way, line through incorrect information and enter correction below.

DO NOT WRITE IN THIS SPACE

2. New Principal Office Address, If Applicable

3. New Mailing Address, If Applicable

4. Date Incorporated or Qualified  
To Do Business in Florida

Suite, Apt. #, etc.

Suite, Apt. #, etc.

8-9-90

City & State

City & State

5. FEI Number

13-3311934

Applied For

Not Applicable

Zip

Country

Zip

Country

CERTIFICATE OF STATUS DESIRED ☐

\$8.75 Additional Fee required  
for a Certificate of Status

7. Names and Street Addresses of Each Officer and/or Director (Florida nonprofit corporations must list at least 3 directors)

Title(s) 1	Name of Officers and/or Directors 2	Street Address of Each Officer and/or Director (Do NOT Use Post Office Box Numbers) 3	City / State / Zip 4
	SEE ATTACHED LIST		000002277180--2 -08/26/97-01028--001 ***1245.00 ***1245.00

REINSTATEMENT

74-97

SL  
8-25-97

8. Name and Address of Current Registered Agent

9. Name and Address of New Registered Agent

CT Corporation System  
1200 S. Pine Island Road  
Planation, FL 33324

Name

CT Corporation System

Street Address (P.O. Box Number is Not Acceptable)

1200 S. Pine Island Road

Suite, Apt. #, Etc.

City

Planation,

State

FL

Zip Code

33324

10. I, being appointed the registered agent of the above named corporation, am familiar with and accept the obligations of Section 607.0505, F.S.

Signature of  
Registered Agent

LOUIE BRYAN  
SPECIAL ASSISTANT SECRETARY  
REGISTERED AGENT MUST SIGN

Date 8/25/97

11. Does this corporation pay any intangible tax to the  
Dept. of Revenue under S. 199.032, Florida Statutes. Yes ☐ No ☒

(See other side for information  
on intangible tax.)

12. I do hereby certify that the information supplied with this filing is voluntarily furnished and does not qualify for the exemption stated in Section 119.07(3)(k), Florida Statutes. I release the Division of Corporations from any liability of non-compliance with Section 119.07(3)(k) in the event that the information supplied is deemed exempt from public access. I certify that I am an officer or director or the receiver or trustee empowered to execute this application as provided for in chapter 607 or 617, F.S. I further certify that when filing this reinstatement application the reason for dissolution has been eliminated, the corporate name satisfies the requirements of section 607.0401 or 617.0401, F.S., and that all fees owed by the corporation have been paid. The information indicated on this application is true and accurate, and my signature shall have the same legal effect as if made under oath.

SIGNATURE:

Sandra M. Quae

SIGNATURE AND TYPED OR PRINTED NAME OF SIGNING OFFICER OR DIRECTOR

8/22/97

Date

250-7681

Daytime Phone #

CR20040 (12/95)

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**Post-Merger Management**  
**of**  
**BT Alex. Brown Incorporated**

**(formerly called BT Securities Corporation)**

**Co-CEO's, Co-Chairman & Directors:**

Yves C. de Balmann  
Mayo A. Shattuck III

**Senior Chairman & Director:**

Benjamin H. Griswold IV

**President & Director:**

Howard M. Schneider

**Other Directors:**

Geralyn A. Fitzgerald  
Alexander P. Frick  
Donald R. Heacock  
Duncan P. Hennes  
Charles F. Kiley  
Glen S. Lewy  
Richard A. Marin  
Terence J. Mogan  
W. Gar Richlin  
Thomas Schweizer Jr.  
J. Edward Virtue

**Officers - (Not Directors):**

**NYSE Designated Officers:**

Chief Financial Officer:	Beverly L. Wright
Director of Compliance:	Robert F. Price
Director of Operations:	J. Michael Connelly

**Other Corporate Officers:**

General Counsel:	Eileen Fox
Corporate Secretary:	James T. Byrne Jr.
Controller:	Thomas M. Quane
Treasurer:	John P. Hardt

130 Liberty Street  
New York, NY 10006